

DEC 04 2003

TRADEMARK OFFICE

STALLMAN & POLLOCK LLP  
121 Spear Street, Suite 290  
San Francisco, CA 94105  
(415) 512-1312

AF/3624

In re Patent Application of: James Peterson et al.

Atty Docket No. SCHB-2700

Application No.: 09/654,627

Filed: September 5, 2000

For: SYSTEM AND METHOD FOR TAX SENSITIVE PORTFOLIO OPTIMIZATION

M/S AF

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Sir:

Transmittal herewith is an amendment in the above-identified application.

The fee has been calculated as shown below.

	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NO. PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDITIONAL FEE
TOTAL	1	MINUS	26	0	x \$18 =	\$0
INDEP.	1	MINUS	5	0	x \$86 =	\$0
FIRST PRESENTATION OF MULTIPLE DEP CLAIMS					+ \$290	\$0
TOTAL						\$0

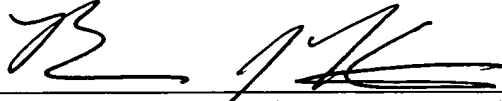
Small Entity 50% Filing Fee Reduction (if applicable) \$0

- \* If the entry in Col. 1 is less than the entry in Col. 2, write "0" in Col. 3
- \*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.
- \*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space. The "Highest Number Previously Paid For" (Total or Independent is the highest number found from the equivalent box in Col. 1 of a prior amendment or the number of claims originally filed.)

1. ☒ No additional fee is required.
2. ☐ A check in the amount of \$\_\_\_\_\_ is attached.
3. ☒ Please charge any additional fees, including any fees necessary for extensions of time or credit overpayment to Deposit Account No. 50-1703, under Order No. SCHB-2700.  
A duplicate copy of this sheet is enclosed.
4. ☒ Petition for extension of time. The undersigned attorney of record hereby petitions for an extension of time pursuant to 37 C.F.R. § 1.136(a), as may be required, to file this response.

STALLMAN & POLLOCK LLP

Dated: December 2, 2003

By:   
Brian J. Keating (Reg. No. 39,520)  
Attorneys for Applicant(s)

# CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on December 2, 2003.

Dated: December 2, 2003

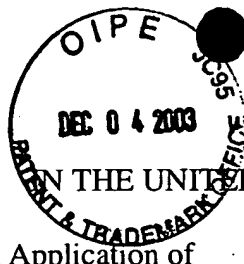
By:   
Georgia K. Stith

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GROUP 3600

09/654,627



-1-

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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In re Patent Application of

Group Art Unit: 7348

James Peterson et al.

Examiner: Sally Shih

**GROUP 3600**

Application No.: 09/654,627

**REPLY UNDER 37 CFR 1.116 IN  
RESPONSE TO OFFICE ACTION  
MAILED OCTOBER 3, 2003**

Filed: September 5, 2000

For: SYSTEM AND METHOD FOR TAX  
SENSITIVE PORTFOLIO  
OPTIMIZATION

121 Spear Street, Suite 290  
San Francisco, CA 94105  
(415) 512-1312

#13  
ME  
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Box 1450, Alexandria, VA 22313-1450 on Dec. 2, 2003.  
STALLMAN & POLLOCK LLP

Dated: 12/2/2003

By:

Georgia K. Stith

Sir:

In response to the Office Action mailed October 3, 2003, the following  
remarks/arguments and amendment are respectfully submitted and reconsideration is requested.

**Amendment to the Claims** are reflected in the listing of claims which begins on page 2 of this  
paper.

**Remarks/Arguments** begin on page 3 of this paper.